



Attorney's Docket No.: 09857-092001

3624  
#16  
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10-20-03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Steven M. Bloom et al.      Art Unit : 3624  
Serial No. : 10/077,182      Examiner : Unknown  
Filed : February 15, 2002  
Title : BALANCING ARBITRAGABLE TRACKING SECURITIES

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Copies of the references listed on the attached form PTO-1449 are enclosed. A copy of a communication from a foreign patent office in a counterpart application is also enclosed.

This statement is being filed within three months of the filing date of the application or before the receipt of a first Office action on the merits. Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: \_\_\_\_\_

10/9/03

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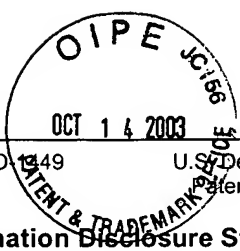
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**RECEIVED**Sheet 1 of 1Substitute Form PTO 1449  
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Patent and Trademark OfficeAttorney's Pocket No.  
00836001Application No.  
10/077,182**Information Disclosure Statement  
by Applicant**

(Use several sheets if necessary)

(37 CFR §1.98(b))

Applicant

Steven M. Bloom et al.

Filing Date

February 15, 2002

Group Art Unit

3624

**U.S. Patent Documents**

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA	6,035,287		Stallert et al.			3/7/00
	AB	6,278,983		Ball			8/21/01
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

**Foreign Patent Documents or Published Foreign Patent Applications**

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

**Other Documents (include Author, Title, Date, and Place of Publication)**

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EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Disclosure Form (PTO-1449)